

PTO/SB/01 (10-01)  
Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

**DECLARATION FOR UTILITY OR  
DESIGN  
PATENT APPLICATION  
(37 CFR 1.63)**

☒ Declaration Submitted with Initial Filing OR ☐ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number 102 01

First Named Inventor OCKENFUSS

**COMPLETE IF KNOWN**

Application Number /

Filing Date November 14, 2001

Art Unit

Examiner Name

As the below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original and first inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:

STRESS FREE AND THERMALLY STABILIZED DIELECTRIC FILTER

(Title of the Invention)

the specification of which

☒ is attached hereto

OR

☐ was filed on (MM/DD/YYYY)

as United States Application Number or PCT International

Application Number and was amended on (MM/DD/YYYY) (if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

(Page 1 of 2)

Burden hour Statement. This form is estimated to take 21 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patent, Washington, DC 20231

PTO/SB/01 (10-01)

Approved for use through 10/31/2002 OMB 0651-0032

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

**DECLARATION — Utility or Design Patent Application**Direct all correspondence to: ☒ Customer Number or Bar Code Label  OR ☐ Correspondence address below

30480

PATENT &amp; TRADEMARK OFFICE

Name

Address

City

State

ZIP

Country

Telephone

Fax

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

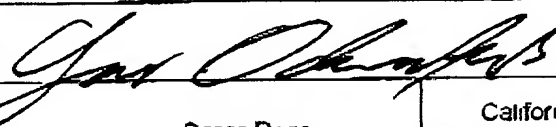
NAME OF SOLE OR FIRST INVENTOR: ☐ A petition has been filed for this unsigned inventor

Given Name

Georg

Family Name  
or Surname

OCKENFUSS

Inventor's  
Signature

Date 11/14/01

Residence: City

Santa Rosa

State

California

Country  
United StatesCitizenship  
German

Mailing Address

917 St. Helena Avenue

City

Santa Rosa

State

California

ZIP

95404

Country

USA

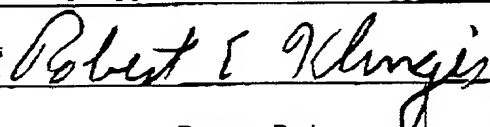
NAME OF SECOND INVENTOR: ☐ A petition has been filed for this unsigned inventor

Given Name

Robert E.

Family Name  
or Surname

KLINGER

Inventor's  
Signature

Date 11/14/01

Residence: City

Rohnert Park

State

California

Country  
United StatesCitizenship  
United States

Mailing Address

7376 Circle Drive

City

Rohnert Park

State

California

ZIP

94928

Country

USA

☐ Additional inventors are being named on the \_\_\_\_\_ supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.

File No: 102.01

**ASSIGNMENT OF ALL INTEREST IN AN INVENTION  
BEFORE THE ISSUE OF A PATENT**

We, Georg OCKENFUSS and Robert E. KLINGER, whose full post office addresses are 917 St. Helena Avenue, Santa Rosa, California 95404, United States; and 7376 Circle Drive, Rohnert Park, California 94928, United States, respectively, in consideration of the sum of \$1.00, the receipt of which is hereby acknowledged, do hereby sell and assign to JDS Uniphase Corporation, whose full post office address is 210 Baypointe Parkway, San Jose, California 95134, United States of America, all our interest in the United States, and all other countries, in and to our invention relating to

**STRESS FREE THERMALLY STABILIZED DIELECTRIC FILTER**

as fully described and claimed in our application for a patent for such invention and to all our corresponding right, title and interest in and to any patent which may issue therefore

Signed at JDSU this 14<sup>th</sup> day of November, 2001

[Signature]

Witness.

[Signature]

Signature of assignor

Georg OCKENFUSS

Signed at JDSU this 14<sup>th</sup> day of November, 2001.

[Signature]

Witness.

[Signature]

Signature of assignor

Robert E. KLINGER

100-444400